

FAQs

What is the Department of Banking And Securities (DoBS) “Portal”?

- The Portal is a web-based, self-service system designed to perform all the licensing and examination functions you currently perform using paper forms, mail, and email.
- The Portal is significantly more efficient than prior methods allowing for securely submitting documentation to the department.

What to Expect for Licensing

- The Licensing Examiner will send an email to the Firm requesting a conference call. The email used will be the email that is identified in the Form ADV filings.
- After conference call, you will receive an email from PA DOBS Self-Service Portal. The message will state “Pennsylvania Dept. of Banking and Securities- Join Code Invitation”
- There is a link to access the DoBS Portal
- There is a [Join Code]
 - Copy the [Join Code] from the email. The [Join Code] will need to be pasted inside the Portal to gain access to notifications and correspondence from the Department/ Licensing Examiner and/ or Accountant (if applicable)

What to Expect for a Compliance Examination

- You will receive notification of an examination through email. The email used will be the email that is identified in the Form ADV filings.
- You will receive an invite code to join the Portal, where you will need to create a Keystone Login.
- Once logged into the Portal, you will respond to the examination letter and continue the examination process through the Portal.

Keystone Login

- You will need to create a Keystone Login.
 - [-https://keystonelogin.beta.pa.gov/Account/Register](https://keystonelogin.beta.pa.gov/Account/Register)
 - Keystone Help Desk Number 877-328-0995
 - Keystone Help Desk Email: KeystoneLoginSupport@randstadusa.com

DoBS Portal <https://www.portal.dobs.pa.gov/>

- Select the [Securities] tile.
- The user will be directed to the Securities Dashboard page.

What is a “Task”

- A Task is an assignment that the firm will need to complete. The Task could pertain to registration, examination, or request for financial information.

Reminders

- The email that contains the user's join code is only active for 30 days.
 - If the [Join Code] expires, email or call your Examiner and request another email be sent
- When reviewing a Task, click and save all attachments **BEFORE** clicking [Submit] or [Acknowledge]. **Once the user clicks [Submit] or [Acknowledge], any attachments will no longer be available.**
- If there is a change to the Firm's contact person, please notify an examiner to update the DoBS Portal.

Who do I contact if there is a problem?

- ALL Keystone questions or issues should be directed to the Keystone Help Desk
 - Keystone Login Help Desk Number: 877-328-0995
 - Keystone Login Help Desk Email: KeystoneLoginSupport@randstadusa.com
- For all Licensing questions, contact a member of the Securities Licensing Office listed below:
 - Caster, Vickie 717-783-2250 vcaster@pa.gov
 - Courtney, Susan 717-783-4221 sucourtney@pa.gov
 - Deimler, Wendy 717-783-4216 wdeimler@pa.gov
 - Galloway, Robyn 717-783-4211 rgalloway@pa.gov
 - Morcom, Staci 717-783-4217 smorcom@pa.gov
 - William, Chansier 717-783-4228 chanwillia@pa.gov
 - Yother, Chris 717-705-9358 cyother@pa.gov
- For all Examination questions, contact the examiner assigned to your firm:
 - Adderley, Delicia (215) 239-2334 dadderley@pa.gov
 - Burke, Christopher (412) 770-0880 chrburke@pa.gov
 - Hoffman, Timothy (412) 565-3653 tihoffman@pa.gov
 - Houtz, Nathan (717) 783-5177 nahoutz@pa.gov
 - Huff, Aaron (412) 565-2481 adhuff@pa.gov
 - Majernik, Dawn (412) 565-5084 dmajernik@pa.gov
 - Sebastian, Paul (412) 565-7612 psebastian@pa.gov
 - Soltner, Kirsten (215) 239-2336 ksoltner@pa.gov
 - Tyson, LaToya (215) 239-2330 latyson@pa.gov
 - Yother, Chris (717) 705-9328 cyother@pa.gov